

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Yoshikazu Sano et al.

Serial No. : 09/719,359 Examiner : Calliee Shosho

Filed : December 11, 2000 Group Art Unit: 1714

For : PROCESS FOR PREPARATION OF PHENOL-MODIFIED
ROSIN ESTER, PHENOL-MODIFIED ROSIN ESTER AND
USE THEREOF

INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the
United States Postal Service as first class mail in an
envelope addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

August 11, 2003

Date of Deposit

Gary M. Butter

Attorney Name

33,841

PTO Registration No.

Signature

August 11 2003

Date of Signature

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed herewith are patents and/or publications for consideration by the
Patent and Trademark Office in regard to the invention claimed in the above-described
application. In compliance with §1.56, such documents are listed in the enclosed
Form PTO-1449.

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Applicants request that the Patent and Trademark Office make of record the above-identified documents. Unless otherwise indicated, a full text copy of each document is attached. For documents not in English, an English translation or an equivalent English language patent or publication is attached. Where a translation is not available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

Identification of the documents listed in the attached PTO 1449 Form is not to be construed as an admission of Applicants or Attorneys for Applicants that such documents are available as "prior art" against the above-identified application.

This Information Disclosure Statement is submitted according to the following selected paragraph:

- I. ☐ This Statement is being filed under §1.97(b) within three months of the filing date of the application, or before the first Office Action.
- II. ☐ This Statement is being filed under §1.97(c), with fee, prior to either a final action or a notice of allowance. A check for the fee required by §1.17(p) and a duplicate copy of this Statement is enclosed.
- III. ☒ This Statement is being filed under §1.97(c), with a statement under, §1.97(e) prior to either a final action or a notice of allowance. The undersigned hereby states that (check one):
- ☐ each item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.
- ☒ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this statement under §1.97(e) after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

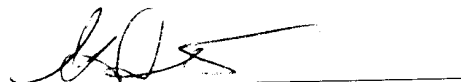
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- IV. ☐ This Statement is being filed under §1.97(d), with petition and statement under §1.97(e), after a final action or a notice of allowance but prior to payment of the issue fee. The undersigned hereby petitions that this Statement be considered prior to issuance of the patent. A check for the fee required by §1.17(i) and a duplicate copy of this statement is enclosed. The undersigned hereby states that (check one):
- ☐ each item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. A copy of the communication is enclosed.
- ☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this statement under §1.97(e) after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.
- V. ☐ Copies of the above-cited art were submitted to or cited by the Patent and Trademark Office under parent application Serial No. ___/___ and therefore additional copies of this art are unnecessary.

The Commissioner is hereby authorized to charge payment of any additional fee to Deposit Account No. 02-4377.

Respectfully submitted,

Dated: August 11, 2003



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Patent Office Reg. No. 33,841

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Enclosures

Form PTO-1449 U.S. Department of Commerce
(REV. 2-82) Patent and Trademark OfficeAtty. Docket No.
A33803PCT USASerial No.
09/719,359**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**
(Use several sheets if necessary)Applicant
Yoshikazu Sano et al.Filing Date
December 11, 2000Group
1714**U.S. PATENT DOCUMENTS**

*Exam. Init.	Document No.	Date	Name	Class	Subclass	Filing Date if Appropriate
	5 3 5 9 0 2 4	10/25/94	Kierkels et al.	528	137	08/17/93

FOREIGN PATENT DOCUMENT

Document No.	Date	Country	Class	SubClass	Translator Yes No

OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)

✓ Japanese Publication No. JP 7-126338.

✓ Chinese Publication No. CN 1040220C.

✓ Chinese Publication No. CN 1077461A.

NY02:452042.1

Examiner

Date Considered

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.